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United Nations Institute for Disarmament Research

Note by the Secretary-General

The Secretary-General hereby transmits to the General Assembly the report of the Director of the United Nations Institute for Disarmament Research on the activities of the Institute for the period from August 2011 to July 2012 and the proposed programme of work and estimated budget for 2012 and 2013.

The report was considered and approved for submission to the General Assembly by the Board of Trustees of the Institute at the fifty-eighth session of the Secretary-General's Advisory Board on Disarmament Matters, held from 4 to 6 July 2012. The Board of Trustees stresses the importance of the activities of the Institute in supporting the efforts of the international community towards disarmament, arms control and peace and security, especially as other elements of the United Nations disarmament machinery have been struggling to make progress, indeed, even to remain relevant. However, the Board also has expressed its serious concern about both the impact on the Institute of current adverse funding circumstances and also, given the limited scope of the subvention from the United Nations regular budget towards meeting the costs of the director and institute staff, about the increasingly heavy reliance necessarily placed on the dwindling volume of voluntary contributions by States Members of the United Nations to the important work of the Institute.

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Report of the Director of the United Nations Institute for Disarmament Research on the activities of the Institute for the period from August 2011 to July 2012 and the proposed programme of work and budget for the period 2012-2013

Summary

The present report covers the activities of the United Nations Institute for Disarmament Research from August 2011 to July 2012. The report was considered by the Board of Trustees at the fifty-eighth session of the Secretary-General's Advisory Board on Disarmament Matters, held from 4 to 6 July 2012. It was prepared in compliance with General Assembly resolution 39/148H, in which the Assembly requesting the Director of UNIDIR to report annually on the activities of the Institute. The present report highlights the programmatic achievements during this period, as well as the current institutional and financial situation.

The work of UNIDIR is structured into five programmatic themes: weapons of mass destruction, weapons of societal disruption, security and society, emerging threats, and improving processes and practices. UNIDIR promotes progress on disarmament, arms control, peace and security in a number of ways — including offering analyses of current security problems with a focus on policy-oriented solutions and working closely with Member States to support ongoing negotiations.

The Director also reports on the status of voluntary funds received from Governments and other sources, which cover the vast majority of the budget of the Institute and finance all its operational activities. As voluntary funds have traditionally come from only a handful of Member States, UNIDIR has been actively seeking to expand its donor base as part of its resource mobilization strategy. Despite the global financial crisis, six new donors have been added since 2010. Contributions earmarked for projects have remained relatively stable, although requiring much greater effort on the part of staff to secure.

At the same time, the Institute continues to see erosion in the volume of core contributions, leading to a growing decline in overall funding despite attracting new donors. This is the essence of the problem — it is the core support that underpins the planning, management, administrative and other activities necessary for UNIDIR to give effect to its programmes and publications, and ensures day-to-day survivability of the essential support infrastructure on which both research and projects rely. This growing gap between project funding and institutional funding is unsustainable; as in any organization, there is a floor of core support required to enable the Institute to operate.

The present report highlights the continuing importance of the subvention from the United Nations regular budget. Not only does the subvention guarantee the independence of the UNIDIR director, it has been repeatedly recommended by Member States, the Board of Trustees and the General Assembly that the subvention should in addition help to defray the costs of the institutional core staff. For some time UNIDIR has been in the invidious position of having to prioritize covering the institutional costs for keeping the Institute solvent over fundraising for research project activities. This difficult situation has been further exacerbated in recent years by an increase in the number of countries that have legal constraints mitigating

against provision of institutional (i.e., core) support. Yet, as noted earlier, without core support, the Institute cannot support its research activities.

The principle of the need for increased regular budget support for core staff has been accepted for many years. In 2005, the General Assembly adopted resolution 60/89, and in 2010 resolution 65/87, recommending that the Secretary-General implement the relevant recommendations of the Office of Internal Oversight Services and the decisions of the Board of Trustees, that most institutional staff costs should be funded from the regular budget within existing resources. The Director notes that in recent history the subvention has fallen far short of these costs, providing less than 15 per cent of total staff costs. The Board of Trustees once again stresses the need for increased funding from the United Nations regular budget to support UNIDIR as a unique and vital part of the United Nations disarmament machinery and requests that all efforts be made by the Secretary-General, the Secretariat and Member States to support such an increase in the next biennium.

The value of UNIDIR to the international community is based on its status as an autonomous institution within the United Nations system, and this independence remains critical to the ability of UNIDIR to effectively fulfil its mandate to serve all Member States. In an era when much of the United Nations disarmament machinery is seized up, the proven ability of UNIDIR to provide practical, policy-oriented solutions for progress and its ability to work outside the political constraints hampering other United Nations bodies should be even more valuable to help meet the priorities of both the Secretary-General and Member States in the disarmament arena.

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I. Introduction

1. The present report covers the activities of UNIDIR during the period from August 2011 to July 2012, and the proposed programme of work and estimated budget for the period 2012-2013.

2. For more than a decade UNIDIR has been at the forefront of efforts to create holistic approaches to disarmament, peace and security — focusing on human security, bridge-building and raising awareness about the need for cross-stakeholder cooperation. This highlights the unique role of UNIDIR: a trusted member of the United Nations system and disarmament machinery, but at the same time an independent source of information and analysis, as well as an agent of change. In an era where much of the United Nations disarmament machinery remains critically challenged, the contributions of UNIDIR to progress on arms control, disarmament and security are ever more important.

3. As threats have multiplied and the need for more creative methods for addressing them has grown, UNIDIR has increasingly been requested to provide the international community with ideas for resolving security problems. As the global financial crisis has hit home in many States, ministries of foreign affairs are seeing staff reductions and budget cuts. Thus, the services provided by UNIDIR for the diplomatic, policy and practitioner communities are increasing in value. Yet, under the dire economic circumstances, research and outreach efforts related to arms control and disarmament are among the first activities to be downsized — leading to a seriously degraded funding environment for voluntarily funded organizations such as UNIDIR.

4. To address these circumstances, UNIDIR continues to strengthen institutional processes related to project development and results-based budgeting, implement a resource mobilization strategy and renew efforts to establish relationships with partner organizations within the United Nations system and in academia and civil society. But without sustained support from Member States, not just for specific project activities but for the Institute itself, the capacity of UNIDIR to maintain a useful level of support to the United Nations and Member States will be degraded, perhaps to the point of irrelevancy.

A. Vision statement

5. The driving vision of UNIDIR is that of a world in which human security is ensured, where peace prevails over conflict, weapons of mass destruction are eliminated, conventional arms proliferation is avoided and reduced military spending accompanies global development and prosperity as envisioned in Article 26 of the Charter of the United Nations. UNIDIR thus seeks to serve as an agent of progressive change aimed at meeting those goals.

B. Mission statement

6. As an autonomous research institute within the United Nations, the mission of UNIDIR is to assist the international community in finding and implementing solutions to disarmament and security challenges. Through its research and educational efforts, UNIDIR seeks to advance arms control and disarmament,

contribute to conflict prevention and promote the development of a peaceful and prosperous world. UNIDIR strives to anticipate new security challenges and threats, and to develop possible methods to address them before they become critical. Finally, UNIDIR serves as a bridge — both among United Nations disarmament, security and development organizations and between the United Nations system and the broader security community — to create the necessary synergies to address and mitigate the effects of insecurity at the international, regional and local levels.

II. Programme of work

7. The work of UNIDIR is divided into five research programmes: weapons of mass destruction, weapons of societal disruption, security and society, emerging threats and improving processes and practices. This structure ensures that UNIDIR addresses a wide range of security issues as foreseen in its mandate, provides easier entry points for users of the research conducted by the Institute and helps donors to focus on their areas of interest.

A. Weapons of mass destruction

8. The mandate of UNIDIR places a high priority on work aimed at the elimination of weapons of mass destruction, particularly nuclear weapons. Projects for this period are described below.

1. Transparency and accountability in nuclear disarmament

9. As illustrated by the action plan approved at the 2010 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons, transparency and accountability regarding nuclear weapons and materials is a critical foundation for disarmament. The project on transparency and accountability in nuclear disarmament explores legal and practical measures to expand to other nuclear-weapon States the transparency and verification arrangements that were developed as part of the Treaty between the United States of America and the Russian Federation on Measures for the Further Reduction and Limitation of Strategic Offensive Arms (the New START Treaty). To contribute to the principle of non-discrimination under the Non-Proliferation Treaty, the project is also aimed at coming up with measures that would allow non-nuclear-weapon States to participate in the data exchange process. The possibility of extending these transparency arrangements to the arsenals of States that are not covered by the Non-Proliferation Treaty, to non-strategic weapons and to non-deployed warheads will also be considered.

2. International mechanisms for cooperation on nuclear security

10. As concerns about terrorism, proliferation and nuclear safety have grown, UNIDIR continues to support international efforts aimed at strengthening nuclear security. UNIDIR began its project on international mechanisms for cooperation on nuclear security in 2010, and has now launched a second phase. The project is aimed at achieving a better understanding among diplomats of the nuclear security agenda, the progress that has been made so far, the scope of ongoing efforts and the technical and institutional challenges of addressing matters related to nuclear

security. Potential synergies between efforts to promote nuclear safety with those to promote security will also be considered. The project will produce an analysis and recommendations on ways to move forward in 2013.

3. Promoting implementation of the Non-Proliferation Treaty

11. UNIDIR, in conjunction with the Geneva Forum (see section II.G below), held three meetings in 2012 on six specific subjects (representing the three pillars of disarmament, non-proliferation and the peaceful uses of nuclear energy) related to the action plan on nuclear disarmament agreed at the 2010 Non-Proliferation Treaty Review Conference (see NPT/CONF.2010/50 (Vol. I), Conclusions and recommendations for follow-on actions) to support diplomats preparing for the 2012 meetings of the Preparatory Committee for the 2015 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons. UNIDIR intends to hold three additional meetings to further develop ideas for near-term progress on specific items of the action plan.

12. In addition, UNIDIR is collaborating with the Federation of American Scientists on a study promoting de-alerting of nuclear weapons as one of the next key steps in promoting disarmament and the goals of the Non-Proliferation Treaty.

4. Multilateral approaches to the nuclear fuel cycle

13. UNIDIR began a three-year project on multilateral approaches to the nuclear fuel cycle in 2008, with the aim of advancing the debate on the potential disarmament and non-proliferation benefits that could result from multilateral fuel cycle regimes. The project produced six publications on various aspects of the topic, and concluded in October 2011 with a side-event during the First Committee.

5. Verification of a zone free of weapons of mass destruction in the Middle East

14. Confidence-building and trust in a verification mechanism will be critical to achieving the long-standing goal of a zone free of weapons of mass destruction in the Middle East. UNIDIR is currently raising funds for a major, multi-year joint project with a digital advertising agency to develop verification methodologies though an interactive process with regional experts — a process that in and of itself could serve as a confidence-building measure within the Middle East. The concept is to build regional buy in for acceptance of the zone through the process of reiterating the possible options for verification and compliance monitoring that would be acceptable to all.

6. Improving implementation of the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on Their Destruction

15. In cooperation with the Office for Disarmament Affairs of the Secretariat, UNIDIR published in September 2011 an edited volume of essays entitled *Improving Implementation of the Biological Weapons Convention: The 2007-2010 Intersessional Process* (UNIDIR/2011/7). In addition, in November 2011 UNIDIR and the Office for Disarmament Affairs held a joint seminar on the theme "Preparing for the seventh Review Conference of the Biological Weapons Convention" in Geneva designed to increase the level of knowledge about the procedures and goals of the conference.

7. *Disarmament Forum*, the quarterly journal of the United Nations Institute for Disarmament Research

16. In 2011, two issues of *Disarmament Forum* were dedicated to matters related to weapons of mass destruction. The first volume published in 2012 considers the challenges facing the chemical weapons regime, in advance of the 2013 Review Conference of the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on Their Destruction.

B. Weapons of societal disruption

17. Use of conventional weapons in conflict zones has an immediate impact on local societies. In particular, trafficking of conventional weapons has led to severe societal disruption and ineffective governance. Projects for this period are described below.

1. Norms on explosive weapons

18. High-level representatives of the United Nations, including the Secretary-General (see, for example, S/2012/376), have voiced increasing concern at the humanitarian impact of the use of explosive weapons in populated areas. Building on the UNIDIR project "Discourse on explosive weapons", a new project focusing on norms commenced in August 2011 and is related to earlier UNIDIR work on "Disarmament as humanitarian action". The project seeks to deepen the understanding of the norms governing management of explosive weapons by States and is aimed at supporting the development of policy and practice that would enhance the protection of civilians against the effects of explosive weapons. The project offers analysis and commentary on research and events related to explosive weapons and violence on its blog at http://explosiveweapons.info/ and via its Twitter feed at https://twitter.com/#!/explosiviolence.

2. Transfers of conventional weapons

19. On 15 February 2012, UNIDIR convened a meeting in New York examining processes regulating transfers of conventional weapons. Organized with the support of the International Organization of la Francophonie, the briefing offered an opportunity to reflect upon the process of negotiating an arms trade treaty and the conference to review the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects.

C. Security and society

20. UNIDIR was a pioneer in developing thinking about disarmament as a human security issue and the Institute coined the expression "disarmament as humanitarian action" in 2003 for a project of the same name. The interface between security and local communities and the individual is the focus of the UNIDIR security and society programme, with particular emphasis on how insecurity affects society and its structures. Projects for this period are described below.

1. Catastrophic humanitarian consequences of nuclear weapons

21. The work of UNIDIR on humanitarian landmine action and, subsequently, cluster munitions is well known. There are some parallels in the stigmatization of the use of anti-personnel landmines and cluster munitions that resulted in the bans on those weapons which are relevant to developing a process for nuclear disarmament based on the catastrophic humanitarian consequences of their use. Building upon its well-developed body of work in this area and in the wake of the emphasis on the issue at the 2010 Review Conference of the Non-Proliferation Treaty, in the coming year UNIDIR will turn its disarmament as humanitarian action lens to the issue of nuclear weapons, starting with a conference on 28 August 2012 in Geneva.

2. Children and conflict

22. Among the most intolerable tragedies of violent conflict and its aftermath is its impact on children. Children, both as victims and perpetrators of violent acts, are negatively affected in multiple ways by conflict and insecurity. While much has been learned about addressing the special needs of children in conflict, many facets are still poorly understood, particularly at the levels of appropriate policy and programmatic responses. UNIDIR dedicated the third volume of *Disarmament Forum* in 2011 to an examination of measures that help to protect children during time of conflict.

D. Emerging threats

23. One of the strengths of UNIDIR has been its role as an early warning system for trends that could lead to serious threats to international peace and security. Raising awareness of emerging threats at an early stage is critical, so as to prevent and mitigate threats in advance of crisis tipping points. Projects for this period are described below.

1. Cybersecurity

24. There has been increasing concern throughout the international community on issues surrounding cybersecurity. UNIDIR has engaged in elucidating these issues for well over a decade, starting with a conference on the subject in 1999.

25. Pursuant to General Assembly resolution 66/24, a group of governmental experts was established in 2011 to study existing and potential threats in the sphere of information security and possible cooperative measures to address them, including norms, rules or principles of responsible behaviour of States and confidence-building measures with regard to information space. The group, for which UNIDIR will act as a consultant, will commence its work in August 2012.

26. The project "Perspectives on cyberwar: legal frameworks and transparency and confidence-building" ran through 2011 with the aim of initiating dialogue about potential normative or legal constraints on cyberconflicts — and possible regimes for preventing such conflicts — and measures to prevent unacceptable effects of cyberconflict. The project was completed in November 2011 with an international conference held in Berlin.

27. UNIDIR is working with the Center for Strategic and International Studies on an annual open-source survey of State activities and multilateral efforts to avoid conflict in the cyberdomain. The first edition will be published in early 2013.

28. The Institute is actively exploring with potential donors the establishment of an annual cybersecurity conference in late 2012. Similar to the annual UNIDIR international space security conference, which over the past 10 years has helped to build more universal understanding of the threats to space assets and the requirement for multilateral solutions, UNIDIR intends to use such a conference to explore the risks of cyberconflict and potential mechanisms for minimizing those risks.

2. Space security

29. UNIDIR has been involved in research and awareness-raising on the threats to the peaceful use of space since the mid-1980s, and in 2002 held the first of its annual space security conferences. In 2012, the conference focused on concrete areas for progress in the space security arena. The Director of UNIDIR is a founding member of the Global Agenda Council on Space Security of the World Economic Forum, and UNIDIR has been active in supporting the Conference on Disarmament in efforts to address its agenda item on prevention of an arms race in outer space.

30. In October 2011, UNIDIR held a seminar in New York on the margins of the First Committee on "Transparency and confidence-building measures in outer space activities: looking back and moving forward" to raise awareness about the role of transparency and confidence-building measures in diminishing the risk of conflict and the potential composition of a future regime to deal with them.

31. UNIDIR, with the support of the European Union, is working to build international interest in the creation of a code of conduct for outer space activities through a series of regional meetings, background papers and expert consultations throughout 2013.

32. UNIDIR will act as a consultant for the group of governmental experts on transparency and confidence-building measures for outer space activities, mandated by the General Assembly in its resolution 65/68, which will commence its work in July 2012.

E. Improving processes and creating synergies

33. Establishing multilateral and regional disarmament instruments — whether through General Assembly or Security Council resolutions, regional regimes or multilateral treaties — is only the first step in what is often a long and complicated road to results. The placement of UNIDIR within the United Nations system — yet independent from it — provides the Institute a unique position from which to assess the implementation and results of disarmament instruments, develop targeted tools to assist implementation efforts and recommend improved processes and better methods of stakeholder cooperation and collaboration. Projects for this period are described below.

1. Supporting the United Nations disarmament machinery

34. Building on the work of UNIDIR in 2009 on the Conference on Disarmament, and its 2010 project "Fixing the broken disarmament machinery" seeking to diagnose problems with the disarmament machinery of the United Nations and to suggest possible solutions, UNIDIR has continued to address these issues during 2011 and 2012 through briefings, analyses and blog posts.

35. In this period, a heavy focus has been on those aspects of the mandate of the Institute that relate to assisting ongoing negotiations, pushing forward new negotiations and promoting informed participation of States. This has included analysis of the action plan approved at the 2010 Non-Proliferation Treaty Review Conference, particularly on matters of transparency on nuclear disarmament, improving existing mechanisms for disarmament (especially the Conference on Disarmament) and weighing up the potential of alternative mechanisms and approaches for advancing the disarmament agenda including a potential special session of the General Assembly on disarmament. The target audience for most of these activities — conducted in seminars and via web-based channels — is disarmament diplomats based in Geneva, officials of intergovernmental organizations and civil society.

2. Evidence-based programme design for reintegration

36. In August 2011, UNDIR initiated a project on "Evidence-based programme design for reintegration". This project is undertaken in direct support of the stated goals and the strategic priorities of the Inter-Agency Working Group on Disarmament, Demobilization and Reintegration. Building upon the "best process" approach developed during the UNIDIR project "Security needs assessment protocol" (in its first and second phases, from 2006 to 2010) the present project has three phases: (a) developing a framework for working with evidence in the design of reintegration programming (phase I, August 2011-January 2012); (b) translating that approach into a prototype tool or process for reintegration practitioners (phase II); and (c) pilot testing the prototype and building capacity in field offices for evidence-based programme design (phase III). The second phase of the project was initiated in April 2012.

3. Supporting negotiation of an arms trade treaty

37. Between July 2010 and July 2012, UNIDIR implemented a project for the European Union to support the process of developing an arms trade treaty. The project consisted of seven regional seminars and concluded with a closing event in New York in the margins of the arms trade treaty negotiations. The objectives of the project have been to support the preparatory process, ensure that the process was as inclusive as possible, allow concrete recommendations to be made on elements of a future treaty and support Member States in developing and improving national and regional expertise.

38. UNIDIR held a seminar on 14 November 2011 for diplomats in Geneva on the question of whether and how to address technology transfers under any future arms trade treaty. A further seminar aimed at highlighting common regional positions on the parameters of an arms trade treaty was held in New York on 14 February 2012.

4. Towards greater efficiency of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects

39. Since the adoption of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects in 2001, the Institute has regularly analysed national reports submitted by Member States on their implementation activities. By maintaining such continuity in its research work, UNIDIR intends to support the process leading to the conference to review the Programme of Action in 2012 and help to move the Programme of Action towards greater efficiency as a human security instrument.

40. The project "Implementing the United Nations Programme of Action on Small Arms: Analysis of reports submitted by States (2002-2011)", in partnership with the Small Arms Survey, is nearing completion. Member States have consistently used the analyses in crafting measures to improve their own activities related to the Programme of Action and to bolster the regime as a whole. The analysis will be released in August 2012 at a side event at the review conference for the Programme of Action.

5. Supporting the use of International Small Arms Control Standards

41. A project on international small arms control standards, implemented by the United Nations Coordinating Action on Small Arms initiative, will be adopted in August 2012. By providing a clear set of voluntary, technically validated international standards on small arms control, the International Small Arms Control Standards will provide valuable guidance on the implementation of commitments under the Programme of Action, the International Tracing Instrument and the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime. Following the adoption of International Control Standards, a logical step would be to derive from them a mechanism to assist with measuring, prioritizing and evaluating national control actions and commitments related to small arms and light weapons.

42. UNIDIR and the Monterey Institute of International Studies are establishing concrete indicators for each module under the International Small Arms Control Standards to assist with the implementation of global commitments to control small arms and light weapons through a comprehensive, yet easy to use software tool. The tool will allow the user to generate statistics on implementation efforts, prioritize critical areas, measure implementation trends over time and identify areas for improvement. This will assist in promoting the Standards as the normative basis for assessment, evaluation and reporting on national efforts to control small arms and light weapons.

F. Education

43. In fulfilling its mandate to provide the international community with more diversified and complete data, studies and analyses, UNIDIR considers education to be a key pillar of its activities. The occasion of the 10-year anniversary of the United Nations study on disarmament and non-proliferation education (see A/57/124) in 2012 offers an opportunity to renew and deepen disarmament education efforts.

44. UNIDIR has recently started to publish a series of concise briefings on disarmament and security issues, entitled *Understanding Disarmament*. Each volume has a single topic and covers the key historical elements, a review of the current state of affairs, significant controversies or differences in positions on the topic, potential next steps by the arms control and security community, key terminology and suggested further reading. Emphasis will be placed on clear communication of the relevant political as well as scientific concepts. While the primary audience for the series is disarmament decision makers and practitioners, *Understanding Disarmament* will be a useful tool for students and civil society looking for a place to learn about these issues.

45. *Understanding Disarmament* will be produced in an electronic book format readable on mobile devices. Features of electronic books such as annotation via margin notes and links to dictionaries or to additional content make this format an ideal pedagogic tool. In addition, UNIDIR will actively encourage translation of the volumes into languages other than English by Governments and organizations, military staff colleges, research institutes and civil society groups.

G. Geneva Forum

46. UNIDIR is a founding partner of the Geneva Forum, along with the Quaker United Nations Office and the Centre on Conflict, Development and Peacebuilding of the Graduate Institute of International and Development Studies. The Geneva Forum builds partnerships among and between Governments, international organizations and non-governmental organizations dealing with disarmament and arms control issues of common concern. Through its public briefing and its private workshops, the Geneva Forum offers a unique space for policymakers to build arms control agendas and support current negotiations.

III. Resource mobilization strategy

47. Throughout 2011, the Institute continued its focus on broadening and deepening its donor base; adding six first-time donors between 2010 and June 2012. While the individual contributions were financially small, UNIDIR considers it crucial to have the widest donor base possible to reflect the mandate of the Institute to serve all States Members of the United Nations and to reinforce its independence. In addition, with seed money received in 2011, UNIDIR started building on two of its five programme areas: weapons of mass destruction and emerging threats. Programme leaders were engaged for each of the two areas and structural and administrative start-up activities completed. In 2012, programme development will continue in both areas, with a focus on project-level activities. Lastly, in 2011 UNIDIR made considerable investment to set in place the legal and administrative framework for acceptance of contributions from the private sector. A policy on accepting contributions has been approved, allowing UNIDIR to begin pursuit of funding from the private sector.

A. Priorities for the period 2012-2013: building relationships

48. After a lengthy absence, UNIDIR is re-engaging with the charitable foundation sector. The Institute is currently in the process of building these relationships and familiarizing the relevant foundations with its current programme of work. This is a longer-term component of the resource mobilization strategy.

49. In 2012, the Institute has prioritized developing relationships with States in the Middle East and the Gulf States. Despite the range of security issues that concern this region, UNIDIR traditionally has had little engagement with these Governments. The Institute is now in the midst of a coordinated campaign to reach out to representatives from this region, starting with meetings with representatives from Permanent Missions in New York and Geneva. In addition, UNIDIR held a first exploratory briefing with the League of Arab States in May 2012.

B. Renewed emphasis on research partnerships

50. Due to its unique position within the United Nations system, partnering with other centres of excellence on disarmament and security research can offer a multiplying effect for both partners. Further, donors are increasingly encouraging collaborative efforts by research organizations, particularly between national and regional and international organizations, in order to create synergies and optimize investment. In 2011 and 2012, UNIDIR continued activities with long-standing partners, such as the Monterey Institute of International Studies, the Secure World Foundation, the Small Arms Survey and the Center for Strategic and International Studies, and in addition initiated first-time collaboration with the Institute for Peace Research and Security Policy at the University of Hamburg in Germany.

C. Promoting better use of the Institute by Member States and the Secretariat

51. The General Assembly has the possibility to request UNIDIR to undertake specific studies or activities. Such a mechanism is provided for in Article XIII of the Charter and in article VII of the statute of UNIDIR. This possibility permits Member States to determine a topic for analysis of most value to the majority of them — rather than research topics being predominately guided by a handful of donors and their preferences. In addition, this mechanism permits a cost-effective and equitable way for all Member States to benefit from independent analysis prior to taking decisions on substantive matters in the First Committee.

52. For example, UNIDIR has conducted considerable research and analysis on how to improve the lacklustre performance of most of the United Nations disarmament machinery. A comprehensive study could be undertaken at the request of the General Assembly (as it did on deterrence in 1984 or arms regulation in 1992). Or, prior to establishing a group of governmental experts, Member States could call upon UNIDIR to produce background materials, conduct a study of the critical issues or present an objective analysis of the possible avenues for progress prior to the decision as to whether to convene a such a group. UNIDIR could also be requested to present studies for focused discussion within the Disarmament Commission.

IV. Communications and outreach

A. Consultative and advisory services

53. One significant indicator of the impact of the work of UNIDIR and the reputation of the Institute is the number of requests for consultative or advisory services. Staff are regularly called upon to advise, consult with or brief interested parties. These activities, undertaken in addition to the UNIDIR programme of work, enrich the efforts of other organizations, educate stakeholders, strengthen collaboration and disseminate research findings. These requests come from within the United Nations system; from Member States; from international, multilateral and regional organizations; and from research institutes, academic bodies, the media and civil society groups. UNIDIR receives frequent requests for assistance from both current and future Presidents of the Conference on Disarmament.

B. Outreach strategy

54. UNIDIR continues to implement its outreach and dissemination strategy, with emphasis on developing the UNIDIR brand, expanding the *UNIDIR Resources* electronic document series, and developing materials designed for electronic support.

55. Over the next year, UNIDIR will focus on rebranding. A new visual identity will be launched, focused on the new UNIDIR logo. A website overhaul will make the electronic interface easier to use and introduce innovative functionalities.

56. UNIDIR continues to develop its electronic publication series in order to publish more quickly, reduce costs associated with printing, and be more environmentally responsible. During the period covered by the present report, UNIDIR published five books and seven electronic publications on a range of issues. All UNIDIR publications are available for download from the UNIDIR website in their entirety, free of charge.

57. New electronic products will be introduced in the coming year, including quick read (QR) codes integrated into UNIDIR flyers and materials, e-books and greater exploitation of social media tools.

V. Structure, management and staffing

58. With the restructuring of the UNIDIR programme of work in 2010, a process was initiated to bring in expertise to manage and develop the new programmatic architecture. With a generous three-year pledge from the Government of Norway, UNIDIR hired a part-time senior staff member to lead the weapons of mass destruction programme. With financial and strategic support from the Secure World Foundation, the Institute was able to hire a full-time start-up manager for the emerging threats programme for six months.

59. At the same time, a 50 per cent reduction in annual institutional support provided by a key donor Government resulted in the abolishment of the post of Deputy Director. The loss of this critical senior position — yet with no reduction in institutional output or activities — has resulted in the core staff being stretched to

its limits. The core staff of the Institute — that is, those staff required to ensure that UNIDIR functions in compliance with United Nations administration and financial rules and regulations, to manage researchers, and to undertake day-to-day operations such as website maintenance — has reached a critical minimum. Institutional staffing has now been reduced to the level where further reductions will cause the Institute to lose crucial capacities to support research activities. There is a foundational level of institutional capacity that if lost would negate the purpose of the existence of the Institute.

60. In addition, due to lack of financial support, the part-time editor of *Disarmament Forum* was not replaced upon his departure in March 2012; a decision about continuation of the publication will be made at the end of 2012. UNIDIR remains convinced of the importance of the quarterly journal as both a mechanism to promote relevant and timely analysis, and a critical contribution to arms control literature that is available in French. It is the sole regular United Nations publication dedicated to disarmament and security analysis. In addition, *Disarmament Forum* allows UNIDIR to produce analysis on topics that are within its mandate, yet not popular with funders, thereby reinforcing its independence.

61. The work of UNIDIR during the period covered by the present report was carried out by one director, three support staff and four and a half operational core staff.[1] The 10 researchers and three Senior Fellows (one in residence) are complemented by consultants and institutions that are commissioned for specific expertise or short-term activities. This permits the Institute to draw on a wide variety of backgrounds and disciplines and encourages cooperation with other institutions and independent experts and scholars in a cost-effective manner.

62. Finally, as part of its disarmament education mandate, UNIDIR strives to provide opportunities for young scholars interested in peace and security issues and international organizations through internships. During the reporting period, 10 interns worked at the Institute.

VI. Finances: voluntary contributions and subvention from the United Nations regular budget

63. In accordance with article VII(1) of the statute of UNIDIR, voluntary contributions from States and public and private organizations are the principal source of financing (about 80 per cent of funds during the past few years).

64. As a consequence of the global financial crisis and increasing national limitations on unearmarked (of institutional level) support, voluntary contributions to the Institute have continued to drop. During the period covered by the report, only 10 per cent of Member States (less than 20) contributed core funding to UNIDIR. The reduction in core support has resulted in the loss of 1.5 core staff positions. Simply maintaining institutional staff to fulfil financial, administrative and operational requirements costs about $1,900,000 per annum, as compared with a total income from voluntary sources of around $500,000 in 2012 for supporting institutional costs. Part of the resource mobilization strategy of UNIDIR has been to better account for costs of related core staff activities within the budgets of specific

[1] A Deputy Director was employed until February 2012.

projects (as indirect costs). While assisting with cost-recovery, this method results in higher project budgets, which has a dissuasive effect on potential donors.

65. Regarding the subvention from the United Nations regular budget, article VII(2) of the statute of UNIDIR establishes that the subvention is to be used towards meeting the costs of the Director and core staff of the Institute. However, for many years the subvention has covered, at most, the costs of the Director (see annex III to the present report).

66. In recent years, support for the maintenance and even increase of the regular budget subvention has been seen on numerous occasions. Yet the amount of the subvention has remained roughly the same, with annual cost adjustments, for the past 10 years. In 2004, the Secretary-General considered the continuing need for a subvention for UNIDIR and concluded that the regular budget subvention was vital for ensuring the independent and continuous nature of the normal functioning of the Institute (see A/C.5/59/3/Add.1). In 2005, the General Assembly adopted resolution 60/89 recommending that the Secretary-General implement the recommendations of the Office of Internal Oversight Services and the decisions of the UNIDIR Board of Trustees that the costs of the core staff of the Institute be funded from the regular budget of the United Nations, and that ways to increase funding within existing resources continue to be sought. In 2010, the Assembly repeated that call in its resolution 65/87. Support has also been expressed by individual Member States for greater regular budgetary support for the core staff of the Institute. However, implementing these recommendations has thus far proven impossible, owing to cuts to the United Nations regular budget.

67. In its resolution 66/247, the General Assembly approved a subvention for UNIDIR of $577,800 (before recosting) for the biennium 2012-2013.

68. The UNIDIR budget for 2012 is estimated at $3,338,978 and for 2013 at $1,017,030. However, the 2013 figure includes only assured income; every year this estimate will increase as the Institute receives new pledges for projects under development. That said, as can be deduced from annex I to the present report, income is barely covering expenditure for both years. Further, as donations come into the Institute at unpredictable intervals, cash flow for day-to-day operations is at risk.

VII. Conclusions

69. Despite the difficult economic and security environment facing the international community, there remain many opportunities to advance disarmament, peace and security. Indeed, the period through 2015 will be extremely active for the disarmament community. Building on its 30 years of experience and its global reach, UNIDIR — as a valued and trusted independent voice at the international level — will continue to pursue its mandate to support efforts to make progress towards a peaceful and prosperous world. However, UNIDIR cannot do this alone. Increased financial support from Member States, and the United Nations regular budget, is urgently needed to ensure the future viability of the Institute.

Annex I

Income and expenditure for 2010 and 2011 and estimates for 2012 and 2013

(Thousands of United States dollars)

Items	2010 (1)	2011 (2)	2012[a] (estimates) (3)	2013[a] (estimates) (4)	Increase (decrease) (5) (4)-(3)
Funds available at the beginning of the year	1 043.1	1 588.8[b]	1 365.2[c]	1 423.7[d]	58.5
Income					
Voluntary contributions and public donations	2 962.9[e]	2 715.3[f]	3 309.9[g]	980.9[h]	-2 329.0
Subvention from the United Nations regular budget	265.5	300.4	276.6	301.2	24.6
Other inter-organization contributions	42.5[e]	30.0[f]	29.1[g]	36.1[h]	7.0
Interest income	32.0	21.9	20.0	20.0	
Miscellaneous income	27.5	20.9	20.0	20.0	
Total income	**3 330.4**	**3 088.5**	**3 655.6**	**1 358.2**	**-2 297.3**
Prior period adjustments					
Refund to donors		-90.2[f]		-116.9[f]	-116.9
Prior period obligations	69.5				
Total funds available	**4 443.0**	**4 587.1**	**5 020.8**	**2 665.0**	**-2 355.8**
Expenditure					
Staff and other personnel costs	2 445.0	2 766.4	2 670.1	1 805.3	-864.8
Travel	123.4	102.1	142.7	93.1	-49.6
Contractual services	86.5	132.7	139.8	17.4	-122.4
Operating expenses	46.3	59.0	79.2	53.9	-25.3
Acquisitions	14.7	2.3	13.0	13.0	
Fellowships, grants and other	0.8	1.2	394.2	344.2	-50.0
Total	**2 716.7**	**3 063.7**	**3 439.0**	**2 326.9**	**-1 112.1**
Programme support costs	137.5	158.2	158.1	101.3	-56.8
Total expenditure	**2 854.2**	**3 221.9**	**3 597.1**	**2 428.2**	**-1 168.9**
Fund balance at the end of the year	1 588.8[b]	1 365.2[c]	1 423.7[d]	236.8[k]	-1 186.9

(Footnotes on following page)

(Footnotes to Table)

[a] These figures may be increased upon the confirmation of new funding proposals.
[b] Includes $322,700 required as operating cash reserve for 2010.
[c] Includes $332,900 required as operating cash reserve for 2011.
[d] Includes $348,900 required as operating cash reserve for 2012.
[e] See annex II for details of UNIDIR 2010 income from voluntary sources.
[f] See annex II for details of UNIDIR 2011 income from voluntary sources.
[g] See annex II for details of UNIDIR 2012 estimated income from voluntary sources.
[h] See annex II for details of UNIDIR 2013 estimated income from voluntary sources. The estimates for 2013 contributions are conservative. Experience shows that they will be much higher but this cannot, of course, be guaranteed at this stage.
[i] Refund to the European Commission for the project entitled "Support for European Union activities to promote among third countries the process leading toward an arms trade treaty".
[j] Estimated refund to the European Commission for the project on an arms trade treaty.
[k] Includes $214,700 required as operating cash reserve for 2013.

Notes on resources requirements for 2013

A. Direct programme and administrative costs

Pending approval of new fundraising efforts, the provisions made for research programmes and administrative costs are minimal. However, they will be adjusted as funding comes forward.

Staff and other personnel costs: $1,805,300. This provision reflects a decrease of $864,800 over the 2012 revised requirements. These provisions include $669,200 for posts controlled by staffing table (based on standard salary costs applicable to Geneva for 2013, version 11). In 2013 the regular staff will consist of the Director (D-2) and two General Service staff. Because of the difficulty to secure core funding, the post of the Deputy Director was abolished at the end of February 2012 and the Editor (*Disarmament Forum*) was not replaced after his resignation in March 2012. The provision under this heading also includes $36,200 for general temporary assistance, $23,900 for supplementary conference services, $45,700 for consultant fees and travel, $13,000 for ad hoc expert groups and $1,017,300 for other personnel costs. Of this amount $641,500 is the annual amount for core staff and $375,800 is the current estimate for projects continuing in 2013; this latter figure will increase as new projects are funded.

Official travel of staff: $93,100. The estimated requirements for travel of staff in 2013 will be used mainly for the project entitled "Proposal for an international code of conduct on outer space activities". The non-project-related travel of staff will amount to $15,900. These provisions reflect a decrease of $49,600 over the revised 2012 resources requirements mainly because the European Union project on an arms trade treaty ends in 2012. However, the provision under this heading may increase as new projects are funded.

Contractual services: $17,400. This provision reflects a decrease of $122,400 over the 2012 budget requirement. These resource requirements include $9,400 for other external printing, $4,000 for training and $4,000 for contractual services for the website hosting.

Operating expenses: $53,900. These estimated requirements show a decrease of $25,300 over the revised 2012 requirements. They include $12,900 for hospitality, $15,300 for rental of premises, $6,000 for rental of office equipment, $1,000 for rental of conference service equipment, $2,000 for bank charges, $1,300 for subscriptions and $15,400 for communications.

Acquisitions: $13,000. This provision, reflecting no change over the 2012 revised requirements, will be needed to purchase office equipment ($4,000), stationery and office supplies ($1,000) and library books ($8,000).

Fellowships and other grants: $344,200. These provisions reflect a decrease of $50,000 over the 2012 revised requirements.

B. Programme support costs

A provision of $101,300 representing 5 per cent of the total estimated expenditure less the amount of the United Nations regular budget subvention of $301,200 will be needed for programme support costs in 2013.

C. Operating cash reserve

In compliance with administrative instruction ST/AI/284, an amount of $214,700 will be kept as an operating cash reserve. It represents 15 per cent of the total 2013 estimated expenditure funded from extrabudgetary resources, with the exception of the expenditure funded by the European Commission for which a 5 per cent rate is applied.

Annex II

Voluntary contributions to the United Nations Institute for Disarmament Research for 2010 and 2011 and current status for 2012 and 2013

(In United States dollars)

Voluntary contributions	*2010*	*2011*	*2012*	*2013*
A. Government contributions				
Australia	133 753	–	–	–
Austria	–	10 000	–	–
Canada	–	10 194	–	–
China	19 985	20 000	20 000	20 000
Estonia	1 000	–	–	–
Finland[a]	–	105 896	50 000	50 000
France	315 330	160 255	160 000	160 000
Georgia	2 000	–	–	–
Germany	39 720	173 640	225 015	–
Hungary	–	19 711	13 106	10 000
India	9 982	–	10 000	–
Indonesia	–	–	10 000	–
Iraq	5 000	–	–	–
Ireland	20 535	39 756	–	10 000
Israel	10 211	9 642	9 642	10 000
Japan	–	–	16 538	–
Luxembourg	40 529	–	18 992	10 000
Malaysia	–	–	10 000	–
Mexico	3 000	3 000	3 000	3 000
Netherlands	358 704	–	–	–
New Zealand	–	17 503	–	–
Norway	680 316	752 723	620 900	270 000
Pakistan	4 907	–	4 978	–
Republic of Korea	30 000	–	30 000	30 000
Russian Federation	100 000	100 000	100 000	100 000
Turkey	3 000	4 000	–	–
Sweden	37 070	–	–	–
Switzerland	87 429	79 176	111 519	70 000
United Arab Emirates	50 000	–	–	–
United Kingdom	71 455	–	–	–

Voluntary contributions	*2010*	*2011*	*2012*	*2013*
United States of America	20 000	20 000	20 000	20 000
Total, Government contributions	**2 043 925**	**1 525 495**	**1 433 690**	**763 000**
B. Intergovernmental and public donations				
European Commission	898 837	1 001 404	1 780 880	197 880
Foundation for International Relations and Development Studies (Switzerland)		63 310	34 862	
International Organization of la Francophonie		23 333		
Other		40 000		
Miscellaneous	5 140	5 703	4 446	
Secure World Foundation		36 000	36 000	
Simons Foundation	14 985	20 000	20 000	20 000
Total, public donations	**918 962**	**1 189 750**	**1 876 188**	**217 880**
Total, voluntary contributions (A + B)	**2 962 887**	**2 715 244**	**3 309 878**	**980 880**
C. Inter-organization				
United Nations Development Programme		30 000		
Office for Disarmament Affairs	42 500		29 100	36 150
Total inter-organization	**42 500**	**30 000**	**29 100**	**36 150**
Grand total (A + B + C)	**3 005 387**	**2 745 244**	**3 338 978**	**1 017 030**

[a] Contribution for 2010 registered in 2011.

Annex III

Annual core personnel costs for 2012 and 2013, in thousands of United States dollars

UNIDIR has noted the recommendations of the Office of Internal Oversight Services to seek adequate funding from the regular budget to better meet the costs of its core staff and concerning the necessity to regularize the contractual situation of core staff.

These tables allow a comparative view of the total costs if all core staff contracts were to be regularized versus the costs of core staff under the current mix of contractual modalities.

Article VII.2 of the statute of UNIDIR states that a subvention towards meeting the costs of the Director and the staff of the Institute may be provided from the regular budget of the United Nations. In this regard, it also shows the portion of the institutional personnel costs of UNIDIR covered by the subvention from the United Nations regular budget.

Table 1 calculates salary costs for institutional staff based on United Nations standard salary costs.

Table 2 reflects institutional staff costs based on the personnel service contracts currently utilized by UNIDIR due to insufficient core (institutional) funding.

Note. The differential shown between 2012 and 2013 reflects the loss of the position of Deputy Director due to funding cuts to core staff support, rather than an increase in "buying power" from the subvention.

Table 1
Institutional (core) personnel costs, based on United Nations standard salary costs for Geneva

	2012 (estimates)	*2013 (estimates)*
Core staff costs[a]		
Director	354.2	354.2
Deputy Director[b]	146.4	0
Two General Service staff	311.4	315.0
Chief, Projects and Publications	288.2	288.2
Project Development Officer and Conference Organizer	184.5	184.5
Editor, Publications	202.0	202.0
Computer Systems Manager	147.6	147.6
French Translator	184.5	184.5
Editor, *Disarmament Forum* (50 per cent)	92.3	92.3
Subtotal	**1 911.1**	**1 768.3**
Programme support costs (5 per cent of subtotal less United Nations regular budget subvention)	81.7	73.4
Total, core staff costs	**1 992.8**	**1 841.6**

	2012 (estimates)	*2013 (estimates)*
Regular budget subvention	276.6	301.2
Percentage covered by the regular budget subvention	13.88	16.36

[a] Based on the United Nations standard salary costs applicable for Geneva for 2012 and 2013, version 11.
[b] The post was abolished in February 2012 due to reduction in contribution dedicated to financing this post. The costs here represent two months of 2012 salary and separation costs.

Table 2
Actual institutional (core) personnel costs
(based on mix of regular posts and personnel service contracts)

	2012 (estimates)	*2013 (estimates)*
A. Regular posts		
Director	354.2	354.2
Deputy Director	146.4	0.0
Two General Service staff	311.4	315.0
Total, regular posts	**812.0**	**669.2**
B. Other institutional personnel costs		
Chief, Projects and Publications	161.6	164.4
Project Development Officer and Conference Organizer	112.7	113.6
Editor, Publications	112.7	113.6
Computer Systems Manager	78.9	79.5
French Translator	112.7	113.6
Editor, *Disarmament Forum* (50 per cent)[a]	56.4	56.8
Total, other institutional personnel costs	**634.9**	**641.5**
Subtotal A + B	**1 446.9**	**1 310.7**
Programme support costs (5 per cent of subtotal A + B less United Nations regular budget subvention)	58.5	50.5
Total core staff costs	**1 505.4**	**1 361.2**
Regular budget subvention	276.6	301.2
Percentage covered by the regular budget subvention	18.37	22.13

[a] Because of insufficient core funding in 2012, the post of Editor for *Disarmament Forum* is currently vacant.